



INVESTMENT ADVISER ASSOCIATION NEW YORK COMPLIANCE WORKSHOP Wednesday, November 8, 2023 SPEAKER BIOS

Anne C. Choe is a partner in Willkie Farr & Gallagher LLP's Asset Management Department. She advises a wide range of pooled investment vehicles, including mutual funds, ETFs, private funds (hedge funds, private equity funds and venture capital funds) and their sponsors and investment managers. She has in-depth knowledge of the various securities and other laws applicable to pooled vehicles and regularly counsels investment advisers and family offices. A key aspect of Choe's practice is representing investment advisers and funds in SEC examination and enforcement matters. She earned her bachelor's degree from University of Maryland, summa cum laude, and a J.D. from the University of North Carolina School of Law.

Carlo di Florio is the global advisory leader of ACA Group. Previously, di Florio worked for more than 25 years in executive leadership roles at PricewaterhouseCoopers (PwC), the SEC Office of Compliance Inspections and Examinations, and FINRA. He also serves as governor of the Risk Management Association NY Chapter and as adjunct professor at Columbia University, where he teaches strategic risk management. He also serves on the Regulatory Advisory Committee of the National Association of Compliance Professionals and on the Board of Advisors of the Private Equity CFO Association NY Chapter.

Jamie Gershkow is a partner in Stradley Ronon's New York office and focuses her practice on advising investment companies, independent trustees, and investment advisers on regulatory and compliance matters and the applicability and interpretation of securities laws. She frequently counsels on the formation, registration, and ongoing compliance of investment advisers and investment companies, including ETFs, money market funds, and multi-manager funds. Gershkow assists money market fund clients in addressing the many varied matters impacting money market fund management, operations, and compliance, including with respect to recently adopted reforms to Rule 2a-7. She holds a B.A., magna cum laude, from University of Maryland and a J.D., magna cum laude, from Drexel University School of Law.

Maurya Crawford Keating is an associate regional director in the SEC New York Regional Office. She joined the Division of Examinations in 2018 as co-head of the NYRO Investment Adviser/Investment Company unit. Keating also served as acting head of the NYRO Broker-Dealer/Exchange unit and as co-acting regional director of NYRO. Previously, she was lead director and associate general counsel in the National Compliance Office of AXA Equitable Life Insurance Company; vice president, chief broker-dealer counsel, and investment advisor CCO of AXA Advisors, LLC; and associate general counsel at New York Life Insurance Company and Royal

Alliance Associates, Inc. Keating received her J.D. from St. John's University School of Law and her B.A. and M.A. from The Catholic University of America.

Laura L. Grossman is associate general counsel of the IAA. She has more than 20 years of experience as an investment management attorney. Prior to joining the IAA in 2012, she was in private practice for over 10 years in the New York office of Fulbright & Jaworski L.L.P. (now Norton Rose Fulbright), where she advised registered investment adviser, mutual fund and private fund clients on matters arising under the Investment Advisers Act, the Investment Company Act and other federal securities laws, the Commodity Exchange Act and associated regulations, and a wide range of compliance issues. Grossman received her B.A., summa cum laude, from Rutgers College, and she received her law degree from the University of Pennsylvania.